



# Opportunities for R&D Partnerships

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- Small Business Innovation Research  
(SBIR)
- Small Business Technology Transfer  
(STTR)

9<sup>th</sup> Annual Small Business Conference  
San Antonio, TX  
June 25, 2008

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SBIR and STTR Programs  
301-903-7481



# Program Descriptions

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- Small Business Innovation Research (SBIR) – 2.5%
  - Set-aside program for small business concerns to engage in federal R&D – with potential for commercialization
  
- Small Business Technology Transfer (STTR) – 0.30%
  - Set-aside program to facilitate cooperative R&D between small business concerns and U.S. research institutions – with potential for commercialization

# SBIR / STTR Participating Agencies

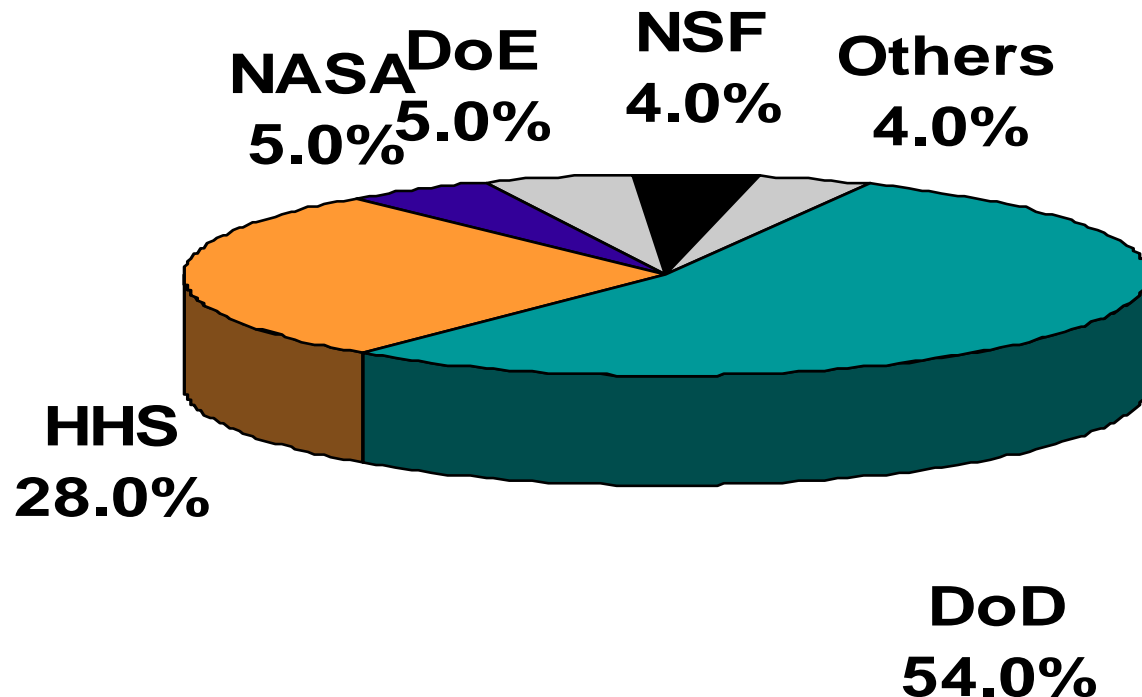


**TOTAL ~ \$2.3 + B**  
**FY 2006**

■ DOD	SBIR/STTR
■ HHS	SBIR/STTR
■ NASA	SBIR/STTR
■ DOE	SBIR/STTR
■ NSF	SBIR/STTR
■ DHS	SBIR/STTR
■ USDA	SBIR
■ DOC	SBIR
■ ED	SBIR
■ EPA	SBIR
■ DOT	SBIR

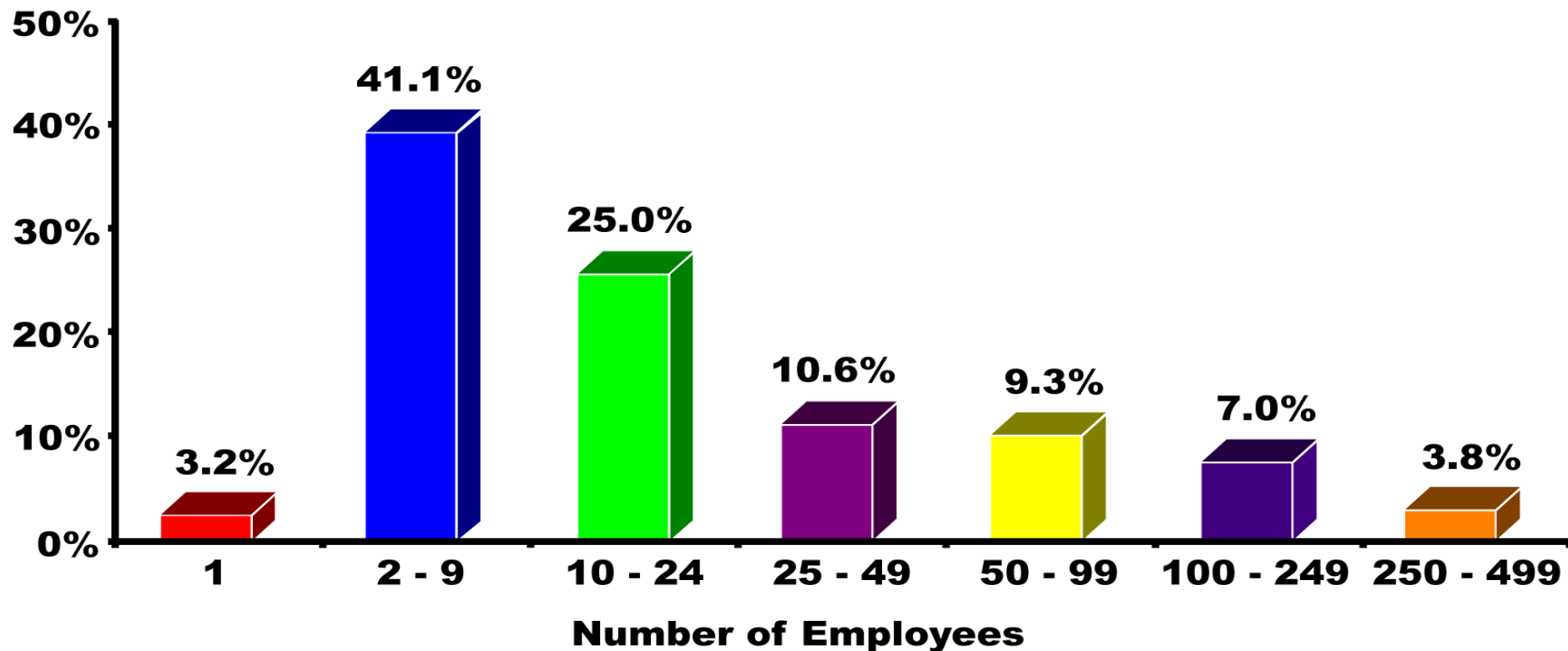
# SBIR Funding Allocation Across Federal Government

## Estimate of SBIR Agency Funding (%)



# Who Participates in SBIR?

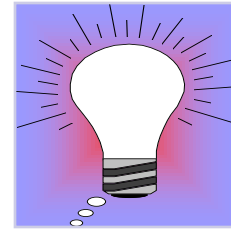
- ✓ Firms are typically small and new to the program.
- ✓ About 1/3 are first-time Phase I awardees.
- ✓ Small hi-tech firms from across the country.



# SBIR/STTR: 3-Phase Program

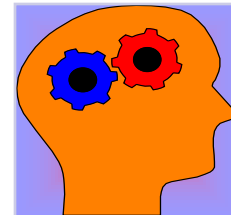
## PHASE I

- Feasibility Study
- \$100K and 6-12 month award (SBIR/STTR)



## PHASE II

- Full Research/R&D
- \$750K and 2-year Award (SBIR/STTR)



## PHASE III

- Commercialization Stage
- Use of non-SBIR/STTR Funds



# Standard Phase I Process

Solicitation  
Topics



Proposal  
Submission



Evaluation



Phase I  
Award

About 6-9 months

- Agencies describe R&D topics in solicitations.
- Small Business Concerns prepare short (usually 25-page) proposals. Unsolicited proposals **not** accepted.
- Agencies evaluate based on technical merit, firm's qualifications, and commercial potential/societal benefit.
- Agencies make Phase I awards.



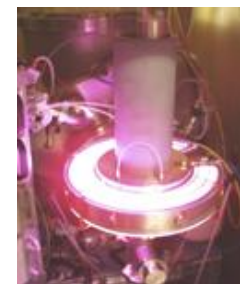
# Department of Energy Program Features

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- GRANTS
- Annual Solicitation (Fall)
- \$100K Phase I (9 months)
- \$750K Phase II (24 months)
- Electronic applications only (Grants.gov)
- Must be awarded Phase I from DOE to compete in Phase II
- SBIR: PI must be employed by small business
- STTR: PI may be employed by either small business or research partner



# FY 2008 SBIR-STTR TECHNICAL TOPIC CATEGORIES



Advanced Scientific Computing Research	5
Energy Efficiency & Renewable Energy	16
Basic Energy Sciences	4
Fossil Energy	7
Fusion Energy Science	3
Biological & Environmental Research	5
Environmental Management	1
Nuclear Energy S&T	2
Data Management and Communication	1
High Energy and Nuclear Physics	10
Electricity Delivery/Reliability	3
National Security	<u>3</u>
<b>Total Topics</b>	<b>60</b>



# **SBIR-STTR BUDGET & AWARDS**

## **FY 2008 Budget**

### **FY 2008 SBIR-STTR Budget**



#### **SBIR**

**\$122M**

**(2.5%)**

#### **STTR**

**\$15M**

**(.30%)**

### **Award Selections**

**Phase I**

**285 (\$100K)**

**37 (\$100K)**

**Phase II**

**~120 (\$750K)**

**~40 (\$750K)**



# **FY 2008 Phase I Awardee Characteristics**

- 1,494 Phase I Proposals Submitted
- 243 Proposals were 1<sup>st</sup> Step Declined
- 917 Proposals Sent Out for Peer Review
- 285 SBIR & 37 STTR Awards Made to 220 Companies
- Awards Made to Small Businesses in 36 States
- 10 States Won 226 Awards or 70%
- 26 States Won 96 Awards or 30%



# **DOE SBIR-STTR Program Contact Information**

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